

```
graph TD
    10[Data files supplied by brokerage] -- 12 --> 12[Broker Demographics]
    10 -- 14 --> 14[Broker Performance]
    10 -- 16 --> 16[Client Information]
    10 -- 18 --> 18[Month Transaction Information]
    
    12 -- "Data is opened, cleaned, verified, and re-named" --> 22[Broker Information]
    14 --> 22
    22 --> 20[Broker Master]
    
    16 --> 24[Account Master]
    18 --> 26[Transaction Master]
    
    24 -.-> 20
    26 -.-> 20
    26 -.-> 20
```

The flowchart illustrates the data processing system for brokerage data. It begins with 'Data files supplied by brokerage' (10), which are distributed into four categories: 'Broker Demographics' (12), 'Broker Performance' (14), 'Client Information' (16), and 'Month Transaction Information' (18). The 'Broker Demographics' data is processed (opened, cleaned, verified, and re-named) to create 'Broker Information' (22), which is then consolidated into the 'Broker Master' (20). The 'Client Information' is processed into the 'Account Master' (24), and the 'Month Transaction Information' is processed into the 'Transaction Master' (26). Both the 'Account Master' and 'Transaction Master' feed into the 'Broker Master' (20). The 'Transaction Master' also performs calculations and appends data to the 'Broker Master' (20).

Data files supplied by brokerage (10)

Broker Demographics (12)
Broker #, Broker Name, Branch #, Branch Name, Years Licensed

Broker Performance (14)
Revenue by month, Revenue targets by month

Client Information (16)
Account Number, Social Insurance Number, Client Name and Address Broker, Market Value, Account Type

Month Transaction Information (18)
Transaction Date, Account, Units, Price, Buy/Sell, Charged Commission, Scheduled Commission, Currency, Broker, Security Description, Security Type, Client, SIN

Broker Information (22)
Data is opened, cleaned, verified, and re-named

Account Master (24)
For each Broker:
Market Value
sum, number of accounts

Transaction Master (26)
For each Broker:
principal (Price x Units)
sum, Charged Comm.
sum, Scheduled Comm.
sum, P.P. Ratio¹, P.R.
Ratio², number of Transactions by broker

Broker Master (20)
Calculate and Append

1950

009672040-100300

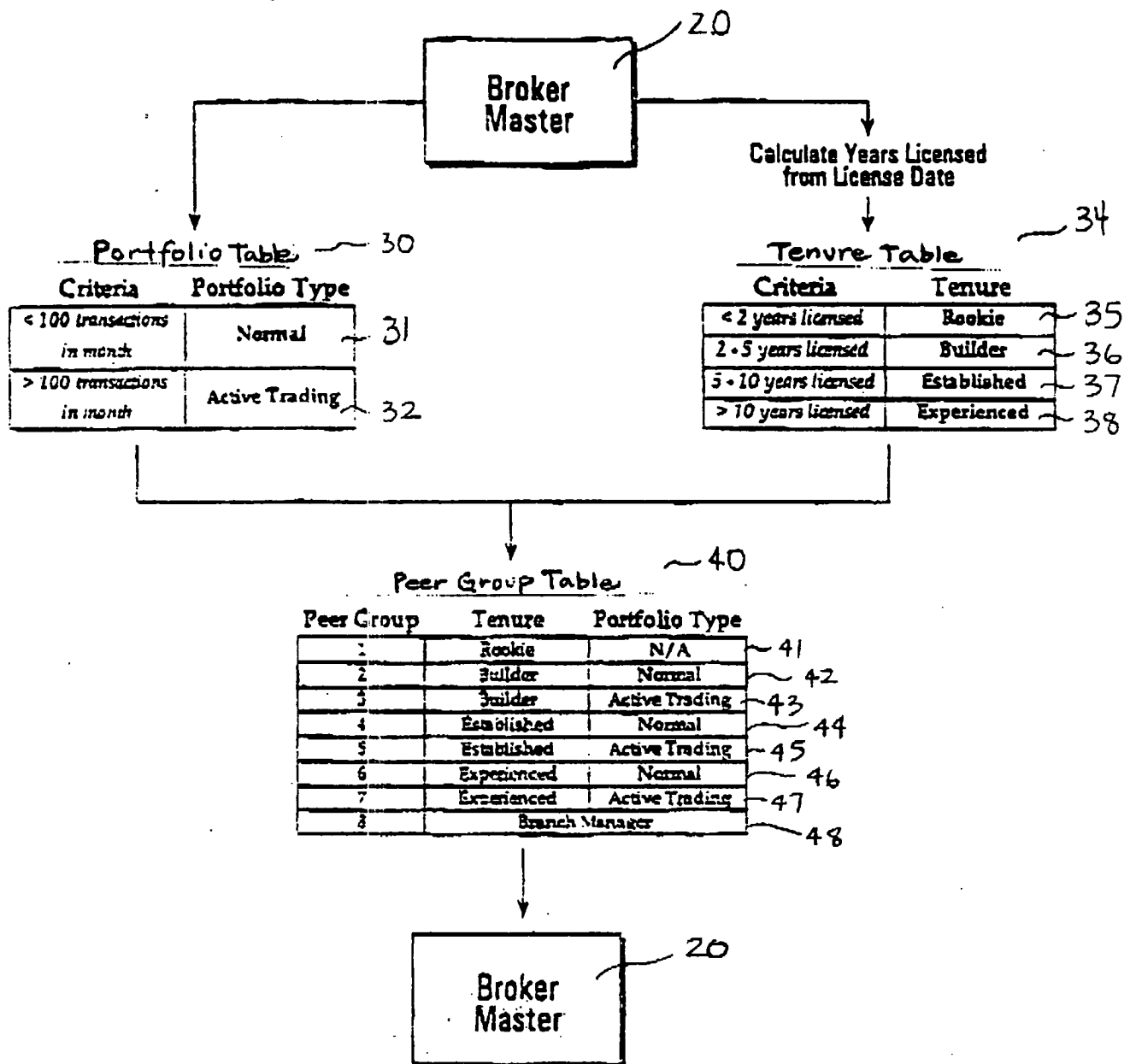


FIG. 2

000001-04032950

Client Information 16



Account Master 24



Group accounts by Social Insurance Number to create 'Clients'



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Client Attractiveness Value (CAV) Table

CAV 5	Assets => \$500,000 in all accounts
CAV 4	Assets => \$250,000 and < \$500,000 in all accounts
CAV 3	Assets => \$100,000 and < \$250,000 in all accounts
CAV 2	Assets => \$50,000 and < \$100,000 in all accounts
CAV 1	Assets < \$50,000 in all accounts

Link by Account #

Transaction Master 26

Calculate for each Client:
Number of Transactions,
Average Principal (Price x
Units), Average Charged
Comm, Average Scheduled
Comm, P.P. Ratio, P.R.
Ratio

Client File 23

FIG. 3

Broker Master 20

Sort Brokers by P.R. Ratio (descending);
Assign rank: 1 - max

Peer Group Selected; Sort Brokers by P.R.
Ratio (descending); Assign rank within peer
group: 1 - max; Repeated for each peer group

FIG. 4

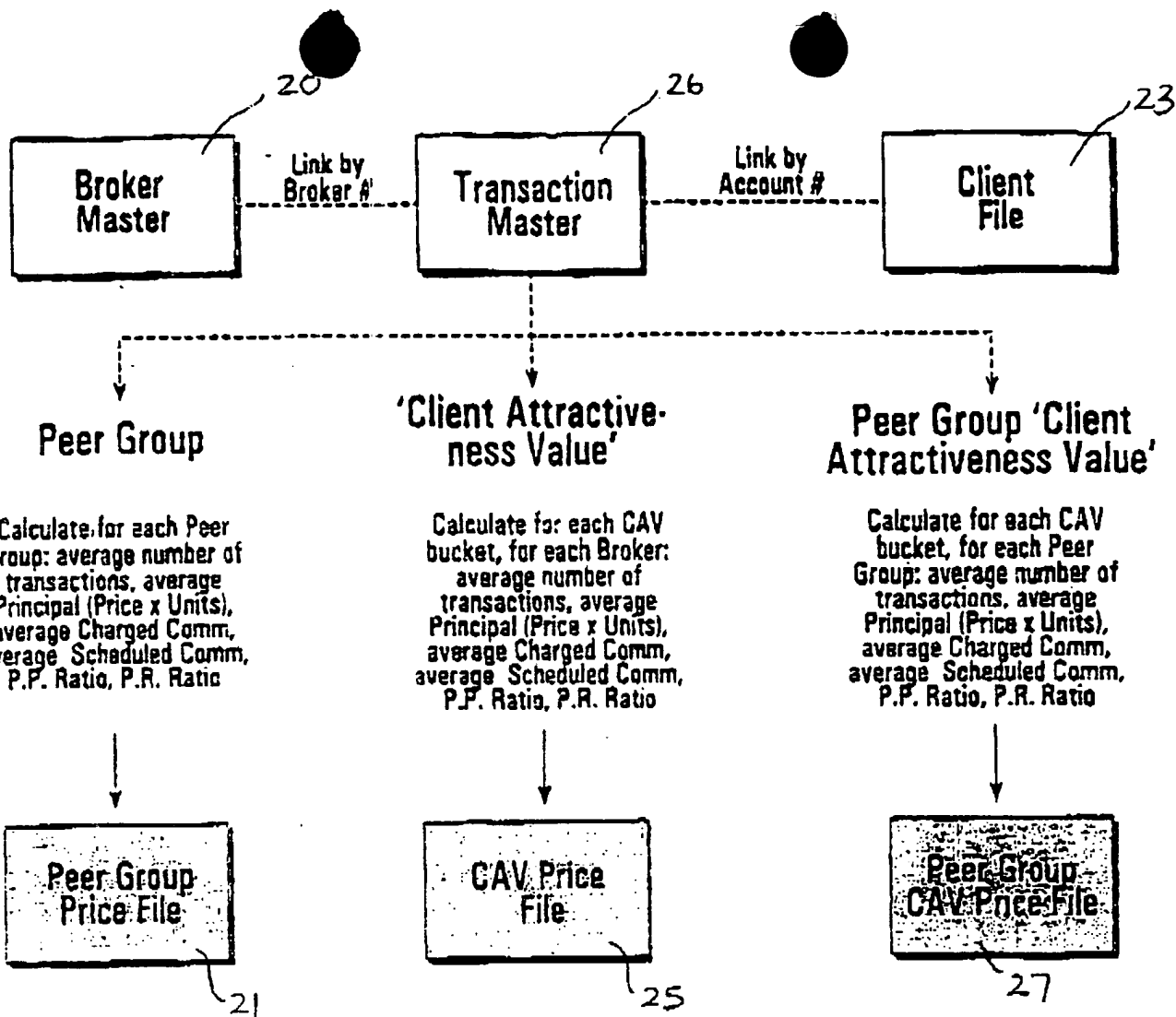


FIG. 5

00678040-100300

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